

# NON-RECURRING CHARGES

## Filing Requirements Checklist

(Applicable Regulation: 807 KAR 5:011, Section 10)

Case No. \_\_\_\_\_ Applicant Name \_\_\_\_\_ Received Date \_\_\_\_\_ Form Circulation Date \_\_\_\_\_

### Instructions:

- 1) Each division noted by checkmark ( ) is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all divisions.

### Reviewed by following Divisions:

<u>Date</u>		<u>Staff Member</u>
_____	Filings	_____
_____	Financial Analysis	_____
_____	Legal	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			Yes	No		Yes	No
	<u>807 KAR 5:001:</u>						
Filings	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.					
Filings	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.					
Legal	Section 8(3)	If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto or if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.					

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
	<u>807 KAR 5:011:</u>						
Legal	Section 8, 9(2)	Is copy of public notice included?					
Legal	Section 8	If copy of public notice is included, did it meet requirements?* (For sewers, direct mailing is required. See KRS 278.185)					
Legal	278.180	Has 30 days' notice been given to the Commission? (No effective date means no notice given and this is acceptable.)					
	<u>807 KAR 5:011</u>						
Legal	Section 10(1)(b)	Statement by utility confirming that copy of filing was simultaneously sent to the Attorney General (Attorney General has 10 days to notify PSC if he requests a hearing.)					
Financial Analysis	Section 10(1)(a)	--Cost justification for each rate change proposed.					
		--Full description of the equipment item(s) or the service(s) for which the rate change is proposed.					
Financial Analysis	Section 10(1)(c)	Statement explaining why proposed changes could not have been included in last rate case and why current conditions prevent deferring change until next rate case.					
Financial Analysis	Section 10(1)(d)	Impact statement identifying group of customers (both existing and potential) affected by proposed change.					
Financial Analysis	Section 10(1)(e)	Income statement and balance sheet for a recent 12-month period.					
Financial Analysis	Section 10(2)	If the additional revenue to be generated from the proposed tariff revisions exceeds by five (5) percent the total revenues provided by all miscellaneous and non-recurring charges for a recent twelve (12) month period, the utility must file, in addition to the information set out in subsection (1)(a) of this section, the following: An absorption test showing that the additional net income generated by the tariff filing will not result in an increase in the rate of return (or other applicable					

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
		valuation methods) to a level greater than that allowed in the most recent rate case. Any general rate increases received during the twelve (12) month period must be annualized. Any significant cost changes may be included but must be documented as part of the filing.					
Financial Analysis	Section 10(3)	No more than two (2) such tariff filings under this procedure shall be made between general rate cases. Additional tariff filings for non-recurring charges will be processed according to general rate case procedures.					

\* If applicant has 20 customers or less, written notice of proposed rate changes and estimated amount of increase per customer class shall be mailed to each customer no later than date of application.

For applicants with more than 20 customers, notice of proposed rates and estimated amount of increase per customer class shall be:

(1) included with customer billings before application is filed or

(2) published in a trade publication or newsletter going to all customers before application is filed or

(3) published once a week for 3 consecutive weeks in a prominent manner in a newspaper of general circulation in its service area, first publication to be made prior to date of application.

Each notice shall contain the following language:

"The rates contained in this notice are the rates proposed by \_\_\_\_\_. However, the Public Service Commission may order rates to be charged that differ from these proposed rates. Such action may result in rates for customers other than the rates included in this notice.

"Any corporation, association, body politic or person may request leave to intervene by motion within 30 days after notice of the proposed rate changes is given. The motion shall be submitted to the Public Service Commission, 211 Sower Boulevard, Frankfort, Kentucky 40602, and shall set forth the grounds for the request including the status and interest of the party. Intervenor may obtain copies of the application and testimony by contacting \_\_\_\_\_ at \_\_\_\_\_. A copy of the application and testimony shall be available for public inspection at the utility's offices."